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APPLICATION NUMBER	FILING DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/122,427	07/24/98	ZOU Y	UTSC584/G00

EXAMINER: KISHORE, G

ART UNIT	PAPER NUMBER
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HM12/1010

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This is a communication from the examiner in charge of your application.
COMMISSIONER OF PATENTS AND TRADEMARKS

OFFICE ACTION SUMMARY

☒ Responsive to communication(s) filed on 9-12-00

☒ This action is **FINAL**.

☐ Since this application is in condition for allowance except for formal matters, **prosecution as to the merits is closed** in accordance with the practice under *Ex parte Quayle*, 1935 D.C. 11; 453 O.G. 213.

A shortened statutory period for response to this action is set to expire - 3 - month(s), or thirty days, whichever is longer, from the mailing date of this communication. Failure to respond within the period for response will cause the application to become abandoned. (35 U.S.C. § 133). Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

Disposition of Claims

☒ Claim(s) 1-9 as 2 is/are pending in the application.
Of the above, claim(s) _____ is/are withdrawn from consideration.
☐ Claim(s) _____ is/are allowed.
☒ Claim(s) 1-9 as 2 is/are rejected.
☐ Claim(s) _____ is/are objected to.
☐ Claim(s) _____ are subject to restriction or election requirement.

Application Papers

☐ See the attached Notice of Draftsperson's Patent Drawing Review, PTO-948.
☐ The drawing(s) filed on _____ is/are objected to by the Examiner.
☐ The proposed drawing correction, filed on _____ is ☐ approved ☐ disapproved.
☐ The specification is objected to by the Examiner.
☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. § 119

☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d).

☐ All ☐ Some* ☐ None of the CERTIFIED copies of the priority documents have been

☐ received.
☐ received in Application No. (Series Code/Serial Number) _____.
☐ received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

*Certified copies not received: _____.

☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e).

Attachment(s)

☐ Notice of Reference Cited, PTO-892
☐ Information Disclosure Statement(s), PTO-1449, Paper No(s). _____
☐ Interview Summary, PTO-413
☐ Notice of Draftperson's Patent Drawing Review, PTO-948
☐ Notice of Informal Patent Application, PTO-152

--SEE OFFICE ACTION ON THE FOLLOWING PAGES--

★ U.S. GPO: 1998-421-632/40206

DETAILED ACTION

The request for the extension of time and amendment filed on 9-12-00 are acknowledged.

Claims included in the prosecution are 1-9 and 52.

Claim Rejections - 35 U.S.C. § 102

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

> **A person shall be entitled to a patent unless –**
>
> **(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.**

2. Claims 1 and 52 rejected under 35 U.S.C. 102(b) as being anticipated by Mehta (4,950,432).

Mehta discloses preliposomal powders containing a drug and a mixture of phospholipids (note the abstract, columns 6-7, Examples and claims). Phospholipids are surfactants and since the reference teaches a mixture of phospholipids, it meets the requirements of instant claims 2 and 8-9.

Applicant's arguments have been fully considered, but are not found to be persuasive. Applicant once again argue regarding the process limitations in the composition claims. These arguments are not found to be persuasive since as pointed out bef re, applicant has not shown that the instant preliposmal powders are patentably distinct from the preliposomal powder of Mehta; applicant provides no experimental

evidence to that effect. Applicant also argues that Mehta requires heating at 40 degrees; as pointed out before, instant claims do not recite any conditions for the reformation of liposomes. Applicant argues that claim 52 recites the limitation of halogenated solvent free composition; this argument is not found to be persuasive since applicant provides no evidence that the powders of Mehta contain halogenated solvents.

> **(e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371© of this title before the invention thereof by the applicant for patent.**

3. Claims 1 and 52 are rejected under 35 U.S.C. 102(e) as being anticipated by Mehta (5,811,119).

Mehta discloses preliposomal powders containing retinoic acid and a mixture of phospholipids (note the abstract, columns 6-7 and Examples). Phospholipids are surfactants and since the reference teaches a mixture of phospholipids, it meets the requirements of instant claims 2 and 8-9.

Applicant's arguments once again are on similar lines as for the rejection of claims over Mehta, 432 as above. These arguments have been addressed above.

Claim Rejections - 35 U.S.C. § 103

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

> **(a) A patent may not be btained th ugh the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior**

art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

5. Claims 2-9 are rejected under 35 U.S.C. 103(a) as being unpatentable over Mehta (4,950,432) or (5,811,119) cited above, further in view of Unger (5.585,112), Isliker (5,089,602), Hsu (5,653,996) individually or in combination.

Mehta does not disclose the use of surfactants such as tweens in the preliposomal preparations.

Unger teaches that non-ionic detergents such as Tweens stabilize the liposome compositions (note col. 25, lines 38-48).

Isliker similarly teaches that Tweens could be used in liposome preparations; the liposome preparations are then lyophilized (Example 11).

Hsu teaches the use of Tweens in liposomal preparations (note col. 5, line 25 et seq.).

In essence, the secondary references all teach the routine practice in the art of the use of Tweens in liposomal preparations. Unger in particular teaches that these are liposomal stabilizers. The use of Tweens in the preparations of Mehta would have been obvious to one of ordinary skill in the art since these are stabilizers and routinely used in the art in liposomal preparations.

Applicant's arguments have been fully considered, but are not found to be persuasive. Applicant's arguments with regard to Mehta have been addressed above. Applicant's arguments with regard to the secondary references once again center around

the process of preparation; these are not persuasive since instant claims are a preliposome lyophilisate and the references of Mehta teach the lyophilisate. What is lacking in Mehta is the presence of a non-lipid surfactant and the secondary references applied and even the reference cited of interest all teach tweens as stabilizers. The motivation to combine tween taught by the secondary references in the liposomes of Mehta need not be the same as applicant's motivation. Even assuming that Unger teaches away, the rejection is made on the combination of Mehta with the secondary references individually and therefore, applicant's arguments are not persuasive.

In response to applicant's argument that the examiner's conclusion of obviousness is based upon improper hindsight reasoning, it must be recognized that any judgment on obviousness is in a sense necessarily a reconstruction based upon hindsight reasoning. But so long as it takes into account only knowledge which was within the level of ordinary skill at the time the claimed invention was made, and does not include knowledge gleaned only from the applicant's disclosure, such a reconstruction is proper. See *In re McLaughlin*, 443 F.2d 1392, 170 USPQ 209 (CCPA 1971).

In response to applicant's argument that , the test for obviousness is not whether the features of a secondary reference may be bodily incorporated into the structure of the primary reference; nor is it that the claimed invention must be expressly suggested in any one or all of the references. Rather, the test is what the combined teachings of the

references would have suggested to those of ordinary skill in the art. See *In re Keller*, 642 F.2d 413, 208 USPQ 871 (CCPA 1981).

In response to applicant's argument that there is no suggestion to combine the references, the examiner recognizes that obviousness can only be established by combining or modifying the teachings of the prior art to produce the claimed invention where there is some teaching, suggestion, or motivation to do so found either in the references themselves or in the knowledge generally available to one of ordinary skill in the art. See *In re Fine*, 837 F.2d 1071, 5 USPQ2d 1596 (Fed. Cir. 1988)and *In re Jones*, 958 F.2d 347, 21 USPQ2d 1941 (Fed. Cir. 1992). In this case, the motivation to combine tween with the preliposomal powders of Mehta is to provide stability.

6. This is a CPA of applicant's earlier Application No. 09/122,427. All claims are drawn to the same invention claimed in the earlier application and could have been finally rejected on the grounds and art of record in the next Office action if they had been entered in the earlier application. Accordingly, THIS ACTION IS MADE FINAL even though it is a first action in this case. See MPEP § 706.07(b). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS f the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the

shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no, however, event will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

7. Any inquiry concerning this communication or earlier communications from the examiner should be directed to *G.S. Kishore* whose telephone number is (703) 308-2440.

The examiner can normally be reached on Monday-Thursday from 6:30 A.M. to 4:00 P.M. The examiner can also be reached on alternate Fridays.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, T.K. Page, can be reached on (703)308-2927. The fax phone number for this Group is (703)305-3592.

Communications via Internet e-mail regarding this application, other than those under 35 U.S.C. 132 or which otherwise require a signature, may be used by the applicant and should be addressed to [thurman.page@uspto.gov].

All Internet e-mail communications will be made of record in the application file. PTO employees do not engage in Internet communications where there exists a possibility that sensitive information could be identified or exchanged unless the record includes a properly signed express waiver of the confidentiality requirements of 35 U.S.C. 122. This is more clearly set forth in the Interim Internet Usage Policy published in the Official Gazette of the Patent and Trademark on February 25, 1997 at 1195 OG 89.

Any inquiry of a general nature or relating to the status of this application should be directed to the Group receptionist whose telephone number is (703)308-1235.

Gollamudi S. Kishore, Ph. D

Primary Examiner

Group 1600

gsk

October 5, 2000